

FORM PTO-1390 (Modified)
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

196 S0PCT

U.S. APPLICATION NO. IF UNKNOWN SEE 37 CFR

097623487

INTERNATIONAL APPLICATION NO.
PCT/EP99/01690INTERNATIONAL FILING DATE
March 1999PRIORITY DATE CLAIMED
16 March 1998**TITLE OF INVENTION****DISPERSION RESINS CONTAINING ITACONIC ACID FOR IMPROVING WET ABRASION RESISTANCE****APPLICANT(S) FOR DO/EO/US**

Cheng-Le ZHAO, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. has been transmitted by the International Bureau.
 - c. is not required, as the application was filed in the United States Receiving Office (RO/US).
6. A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. A copy of the International Search Report (PCT/ISA/210).
8. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. have been transmitted by the International Bureau.
 - c. have not been made; however, the time limit for making such amendments has NOT expired.
 - d. have not been made and will not be made.
9. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 18 below concern document(s) or information included:

13. An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. A **FIRST** preliminary amendment.
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. A substitute specification.
17. A change of power of attorney and/or address letter.
18. Certificate of Mailing by Express Mail
19. Other items or information:

Request for Consideration of Documents Cited in International Search Report**Notice of Priority**

PCT/IB/304

PCT/IB/308

Amended Sheets (Page 33 and 34)

| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 09/623487 | INTERNATIONAL APPLICATION NO. PCT/EP99/01690 | ATTORNEY'S DOCKET NUMBER 196389US0PCT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| CALCULATIONS PTO USE ONLY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>20. The following fees are submitted:</p> <p>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 75%; vertical-align: top;"> <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO</td> <td style="width: 25%; text-align: right;">\$840.00</td> </tr> <tr> <td><input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482)</td> <td style="text-align: right;">\$670.00</td> </tr> <tr> <td><input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))</td> <td style="text-align: right;">\$760.00</td> </tr> <tr> <td><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO</td> <td style="text-align: right;">\$970.00</td> </tr> <tr> <td><input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)</td> <td style="text-align: right;">\$96.00</td> </tr> </table> <p style="text-align: center;">ENTER APPROPRIATE BASIC FEE AMOUNT =</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 75%; text-align: right;">\$840.00</td> <td style="width: 25%;"></td> </tr> </table> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 \$0.00</p> <p>months from the earliest claimed priority date (37 CFR 1.492 (e)).</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 30%;">NUMBER FILED</th> <th style="width: 20%;">NUMBER EXTRA</th> <th style="width: 35%;">RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>9 - 20 =</td> <td>0</td> <td>x \$18.00 \$0.00</td> </tr> <tr> <td>Independent claims</td> <td>1 - 3 =</td> <td>0</td> <td>x \$78.00 \$0.00</td> </tr> <tr> <td colspan="3">Multiple Dependent Claims (check if applicable).</td> <td style="text-align: right;"><input type="checkbox"/> \$0.00</td> </tr> <tr> <td colspan="3" style="text-align: center;">TOTAL OF ABOVE CALCULATIONS</td> <td style="text-align: right;">= \$840.00</td> </tr> </tbody> </table> <p>Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/> \$0.00</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="3" style="width: 75%; text-align: center;">SUBTOTAL</th> <th style="width: 25%; text-align: right;">= \$840.00</th> </tr> </thead> <tbody> <tr> <td colspan="3">Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 +</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td colspan="3" style="text-align: center;">TOTAL NATIONAL FEE</td> <td style="text-align: right;">= \$840.00</td> </tr> <tr> <td colspan="3">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/></td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td colspan="3" style="text-align: center;">TOTAL FEES ENCLOSED</td> <td style="text-align: right;">= \$840.00</td> </tr> <tr> <td colspan="3"></td> <td style="text-align: right;">Amount to be: refunded \$</td> </tr> <tr> <td colspan="3"></td> <td style="text-align: right;">charged \$</td> </tr> </tbody> </table> <p><input checked="" type="checkbox"/> A check in the amount of \$840.00 to cover the above fees is enclosed.</p> <p><input type="checkbox"/> Please charge my Deposit Account No. in the amount of to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p><input type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. A duplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <div style="display: flex; align-items: center;"> <div style="flex: 1; border: 1px solid black; padding: 10px; margin-right: 20px;">  <p>22850</p> </div> <div style="flex: 1; border-left: 1px solid black; padding-left: 10px;"> <p>NEUSTADT, P.C.</p> <p>Surinder Sachar Registration No. 34,423</p> </div> </div> <div style="display: flex; justify-content: space-between;"> <div style="flex: 1;"> <p>SURINDER SACHAR</p> <p>Norman F. Oblon</p> <p>NAME</p> <p>24,618</p> <p>REGISTRATION NUMBER</p> <p>Sep 17 2000</p> <p>DATE</p> </div> </div> | | | <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO | \$840.00 | <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) | \$670.00 | <input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) | \$760.00 | <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$970.00 | <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) | \$96.00 | \$840.00 | | CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | Total claims | 9 - 20 = | 0 | x \$18.00 \$0.00 | Independent claims | 1 - 3 = | 0 | x \$78.00 \$0.00 | Multiple Dependent Claims (check if applicable). | | | <input type="checkbox"/> \$0.00 | TOTAL OF ABOVE CALCULATIONS | | | = \$840.00 | SUBTOTAL | | | = \$840.00 | Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 + | | | \$0.00 | TOTAL NATIONAL FEE | | | = \$840.00 | Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/> | | | \$0.00 | TOTAL FEES ENCLOSED | | | = \$840.00 | | | | Amount to be: refunded \$ | | | | charged \$ |
| <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO | \$840.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) | \$96.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| \$840.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total claims | 9 - 20 = | 0 | x \$18.00 \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Independent claims | 1 - 3 = | 0 | x \$78.00 \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Multiple Dependent Claims (check if applicable). | | | <input type="checkbox"/> \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS | | | = \$840.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SUBTOTAL | | | = \$840.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 + | | | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL NATIONAL FEE | | | = \$840.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| TOTAL FEES ENCLOSED | | | = \$840.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | Amount to be: refunded \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | charged \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

IN RE APPLICATION OF: Cheng-Le ZHAO, et al.

SERIAL NO.: NEW U.S. PCT APPLICATION (based on PCT/EP99/01690)

FILED: HEREWITH

FOR: DISPERSION RESINS CONTAINING ITACONIC ACID FOR IMPROVING WET ABRASION RESISTANCE

- ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Sir:

Transmitted herewith is an amendment in the above-identified application.

- No additional fee is required.
- Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement previously submitted.
- Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement submitted herewith.
- Additional documents filed herewith: PCT Transmittal Letter/Notice of Priority
English Translation of Specification/Request of Consideration/PCT/IB/304/Declaration/PCT/IB/308
Preliminary Amendment/International Search Report/Amended Sheets (Pages 33 and 34)/Check for \$840.00

The fee has been calculated as shown below.

| | (Col. 1) | | (Col. 2) | (Col. 3) | SMALL ENTITY | OTHER THAN A SMALL ENTITY | |
|---|---------------------------|-------|--|------------------|--------------|---------------------------|--------------|
| | CLAIMS REMAINING AFTER | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | RATE | ADDITIONAL FEE | RATE |
| TOTAL | * 9 | MINUS | ** 20 | = 0 | X9 = | \$ | X18 = \$.00 |
| INDEP | * 1 | MINUS | *** 3 | = 0 | X39 = | \$ | X78 = \$.00 |
| <input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM | | | | | +130= | \$ | +260= \$ |
| | | | | | TOTAL | \$ | TOTAL \$.00 |

A check in the amount of \$ _____ is attached.

- Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.



22850

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

Norman F. Oblon
Attorney of Record
Registration No. 24,618
Surinder Sachar
Registration No. 34,423

(703) 413-3000

*If the entry in Column 2 is less than the entry in Column 1 write "0" in Column 3.

**If the "Highest Number Previously paid for" IN THIS SPACE is less than 20 write "20" in this space.

***If the "Highest Number Previously paid for" IN THIS SPACE is less than 3 write "3" in this space.